

Please type a plus sign (+) inside this box

02-2502433 PTO/SB/05(03-01)
Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF
COMMERCIAL

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under

Attorney Docket No. 15904/31153

First Inventor Gregory W. Kasten

Title System and Method of Rating a Financial Investment

Express Mail No. EL474186144US

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents.

1. ☒ Applicant claims small entity status. See 37 CFR 1.27.
2. ☒ Specification [Total Pages 23]
(preferred arrangement set forth below)
☒ Descriptive title of the invention
☐ Cross Reference to Related Applications
☐ Statement Regarding Fed sponsored R & D
☐ Reference to sequence listing, a table, or a computer program listing appendix
☒ Background of the Invention
☒ Brief Summary of the Invention
☒ Brief Description of the Drawings (if filed)
☒ Detailed Description
☒ Claim(s)
☒ Abstract of the Disclosure
3. ☒ Drawing(s) (35 U.S.C. 113) [Total Sheets 5]
4. Oath or Declaration [Total Pages 2]
a. ☐ Newly executed (original or copy)
b. ☒ Unexecuted
c. ☐ Copy from a prior application (37 CFR 1.63 (d))
(for continuation/divisional with Box 18 completed)
i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

ADDRESS TO: Assistant Commissioner for Patents
BOX PATENT APPLICATION
Washington, D.C. 20231

5. ☐ CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)
6. Nucleotide and/or Amino Acid Sequence Submission (if applicable, all necessary)
a. ☐ Computer Readable Form (CRF)
b. Specification Sequence Listing on:
i. ☐ CD-ROM or CD-R (2 copies); or
ii. ☐ paper
c. ☐ Statements verifying identify of above copies

ACCOMPANYING APPLICATION PARTS

7. ☐ Assignment Papers (cover sheet & document(s))
8. ☐ 37 CFR 3.73(b) Statement ☒ Power of Attorney (when there is an assignee)
9. ☐ English Translation Document (if applicable)
10. ☐ Information Disclosure Statement (IDS)/PTO-1449 ☐ Copies of IDS Citations
11. ☐ Preliminary Amendment
12. ☐ Return Receipt Postcard (MPEP 503) (Should be specifically itemized)
13. ☐ Certified Copy of Priority Document(s) (if foreign priority is claimed)
14. ☐ Nonpublication Request under 35 U.S.C. 122 (b)(2)(B)(i). Applicant must attach form PTO/SB/35 or its equivalent
15. ☒ Certificate of Express Mail
16. ☒ Other: Postcard

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No. /
Prior application information. Examiner Group Art Unit

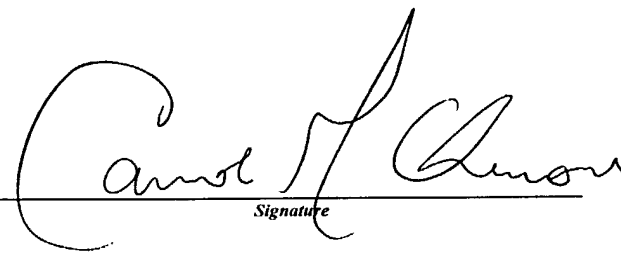
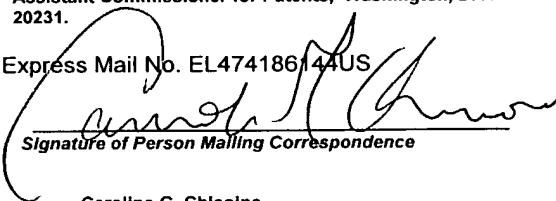
For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

18. CORRESPONDENCE ADDRESS

☐ Customer Number or Bar Code Label 021888 (Insert Customer No. or Attach bar code label here) or ☒ Correspondence address below

Name	Caroline G. Chicoine			Registration No. (Attorney/Agent) #	
Address	Thompson Coburn LLP One Firstar Plaza, Suite 3500				
City	St. Louis	State	MO	Zip Code	63101
Country	U.S.A.	Telephone	314-552-6499	Fax	314-552-7499

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, D.C. 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: ASSISTANT COMMISSIONER for Patents, Box Patent Application, Washington, D.C. 20231
1853230

EXPRESS MAIL CERTIFICATE OF MAILING (37 CFR 1.10) Express Mail No. EL474186144US			Docket No. 15904/31153
In Re Application Of: Gregory W. Kasten			
Serial No. To be assigned	Filing Date To be assigned	Examiner To be assigned	Group Art Unit To be assigned
Title: System and Method of Rating a Financial Investment			
<u>TO THE COMMISSIONER OF PATENTS AND TRADEMARKS</u>			
Transmitted herewith is:			
<p>Utility Patent Application Transmittal:</p> <p> <input checked="" type="checkbox"/> Patent Application <input checked="" type="checkbox"/> Drawings: 5 Sheets <input checked="" type="checkbox"/> Formal <input type="checkbox"/> Informal; <input checked="" type="checkbox"/> Power of Attorney: <input type="checkbox"/> Executed <input checked="" type="checkbox"/> Not executed <input checked="" type="checkbox"/> Declaration: <input type="checkbox"/> Executed <input checked="" type="checkbox"/> Not executed <input type="checkbox"/> Assignment with Recordation Form <input type="checkbox"/> 37 CFR 3.73(b) Statement <input type="checkbox"/> Information Disclosure Statement with References () <input type="checkbox"/> NonPublication Request under 35 U.S.C. 122(b)(2)(B)(i) <input checked="" type="checkbox"/> Postcard <input type="checkbox"/> A check in the amount of is attached </p>			
<div style="display: flex; justify-content: space-between; align-items: flex-end;"> <div style="text-align: center;">  <i>Signature</i> </div> <div> Dated: February 22, 2002 </div> </div>			
c/o Caroline G. Chicoine, Reg. No.38,198 Thompson Coburn LLP One Firststar Plaza, Suite 3500 St. Louis, Missouri 63101 314-552-6499 314-552-7499 FAX Customer No. 021888		<p>I certify that the document and fee is being deposited on February 22, 2002 with the U.S. Postal Service as Express Mail under 37 C.F.R. 1.10 and is addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231.</p> <p>Express Mail No. EL474186144US</p> <div style="text-align: center;">  <i>Signature of Person Mailing Correspondence</i> Caroline G. Chicoine Typed or Printed Name of Person Mailing Correspondence </div>	